

16558 U.S. PTO  
010804

Express Mail Number: EL984538975US

Date Deposited: 01/08/2004

APPROVED  
for  
PTO DEPOSIT ACCOUNT CHARGE  
ACCOUNT #04-1700

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <i>(Only for new nonprovisional applications under 37 CFR 1.53(b))</i>	Attorney Docket No. 5820.645	
	First Inventor Daniel E. Resasco et al.	
	Title METALLIC CATALYTIC PARTICLE FOR PRODUCING SINGLE-WALLED CARBON NANOTUBES	
	Express Mail Label No. EL984538975US	

<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Mail Stop Patent Appl., Comm. for Patents PO Box 1450 Alexandria, VA 22313-1450
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1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <i>(Submit an original and a duplicate for fee processing)</i> 2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 3. <input checked="" type="checkbox"/> Specification [Total Pages 38] <i>(preferred arrangement set forth below)</i> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Redline Specification ____ pgs - Claim(s) - Clean Specification ____ pgs - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 11] 5. Oath or Declaration [Total Pages 5] a. <input type="checkbox"/> Newly executed (original or copy) Copy from a prior application (37 CFR 1.63 (d)) b. <input checked="" type="checkbox"/> (for continuation/divisional with Box 18 completed) i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statements verifying identity of above copies
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<b>ACCOMPANYING APPLICATION PARTS</b>	
9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> 11. <input type="checkbox"/> English Translation Document (if applicable) 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations 13. <input type="checkbox"/> Preliminary Amendment 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i> 15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. 17. <input checked="" type="checkbox"/> Other: SEE BELOW	*SEE BELOW

18. This application is:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information: Examiner: S. Hendrickson of prior application No.: 09/988,847  
 Group Art Unit: 1754

☒ As a CON, DIV, or CIP, this application contains one or more changes to (1) the specification; (2) drawings; or (3) claims in the above-identified prior application. A red-line version of the application showing these changes will be made available to the examiner upon request.

<b>19. CORRESPONDENCE ADDRESS</b>					
<input checked="" type="checkbox"/> Customer Number or Bar Code Label 30589 <i>(Insert Customer No. or Attach bar code label here)</i>		<input type="checkbox"/> Correspondence address below			
Name	Dunlap, Coddling & Rogers, P.C.				
	P. O. Box 16370				
Address	Attn: Christopher W. Corbett				
City	Oklahoma City	State	OK	Zip Code	73113
Country	USA	Telephone	(405) 607-8600	Fax	(405) 607-8686

Name (Print/Type)	Christopher W. Corbett	Registration No. (Attorney/Agent)	36,109
Signature		Date	1/8/04

SEND TO: Mail Stop Patent App  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

\*The Assignment for this case is the same as recorded in the prior application at Reel 10413, frame 0730 as well as the Power of Attorney and 37 CFR 3.73(b) Statement.

17) 1. Utility Patent Application Transmittal (1 page); 2. Fee Transmittal (1 page) Authorizing the Commissioner to charge indicated fees of \$473.00 (\$385.00 for Utility Filing Fee and \$88.00 for extra claim fee) or any additional fee required under 37 C.F.R. 1.16 and 1.17 and/or credit any overpayments to Deposit Account Name Dunlap, Coddling & Rogers, P.C.; 3. Patent Application Fee Determination Record (1 page); 4. Copy of Notice of Filing Continuation Application (1 page); 5. Complete Application for Publication (38 pages) (Continuation of USSN 09/988,847, filed 11/19/2001) including: (A) Specification (32 pages); (B) 25 Claims (5 pages); (C) Abstract (1 page); (D) 5 pages of Combined Declaration and Power of Attorney (from prior application); and (E) 11 sheets of formal drawings with labels identifying indicia; 6. Information Disclosure Statement (3 pages); 7. Form 1449 (modified) (8 pages); 8. Cited references not cited in prior applications; 9. Return receipt postcard.

031431 U.S. PTO  
10/754002

010804

APPROVED

Express Mail No.: EL984538975US  
Date Deposited: 01/08/2004PTO DEPOSIT ACCOUNT CHARGE  
ACCOUNT NO. 04-1700PTO/SB/17 (10-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE**FEE TRANSMITTAL  
for FY 2004**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 473

**Complete if Known**

Application Number	Not Yet Assigned
Filing Date	Herewith
First Named Inventor	Daniel E. Resasco et al.
Examiner Name	S. Hendrickson
Art Unit	1754
Attorney Docket No.	5820.645

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

04-1700

Dunlap, Coddling & Rogers, P.C.  
Customer No. 30589

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	385
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$ ) 385</b>

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims	Extra Claims	Fee from below	Fee Paid
25	5	9	\$45
4	1	43	\$43
Multiple Dependent			\$0

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent claim, if not paid
1204	86	2204	43	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>				

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ ) 0**SUBMITTED BY**

Name (Print/Type)

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Registration No.  
(Attorney/Agent)

36,109

(Complete if applicable)

Telephone (405) 607-8600

Signature

Date

01/08/2004

Mail Stop Patent Application  
Commissioner for Patents  
PO Box 1450, Alexandria, VA 22313-1450

EL984538992US

PATENT

DEPOSITED ON: January 8, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application N . : 09/988,847 Confirmation No. : 9377  
Applicant(s) : Daniel E. Resasco, Boonyarach Kitiyanan  
Jeffrey H. Harwell and Walter Alvarez  
Filed : 11/19/2001  
TC/Au : 1754  
Examiner : S. Hendrickson  
Title : METALLIC CATALYTIC PARTICLE FOR  
PRODUCING SINGLE-WALED CARBON NANOTUBES

Docket No. : 5820.615  
Customer No. : 30589

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**NOTIFICATION OF FILING OF CONTINUING  
OR DIVISIONAL APPLICATION**

Notification is hereby being made of the filing of a:

☒ continuation (Attny. Dkt. No.: 5820.645)

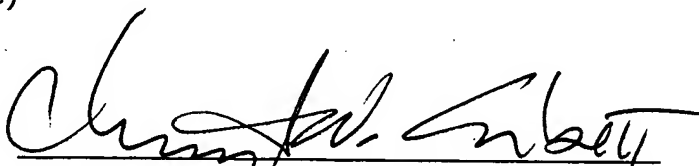
☐ continuation-in-part

☐ divisional

application for this case

☒ concurrently herewith

☐ on \_\_\_\_\_  
(date)



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